

# ARS □ CSREES □ ERS □ NASS

## *Policies and Procedures*

***Title:*** Organizational Management Policy and Procedures for Change

***Number:*** 100.2

***Date:*** 4/23/91

***Originating Office:*** Personnel Division,  
Personnel Policy & Systems Branch

***This Replaces:*** AM 100.2 Dated 4/5/71

***Distribution:*** Headquarters, Areas, and Locations

This Directive states policy, criteria, responsibility, prior approval requests, procedures, and documentation requirements for changes to organizational structures or titles. NOTE: organizational changes which must be approved at Departmental level are defined in Exhibit 1.

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## 1. REFERENCE

- DIRECTIVE 431.1
- MANUAL 245.1

## 2. ABBREVIATIONS

- AD - Area Director
- CRIS - Current Research Information System
- CWU - CRIS Work Unit
- DAAM - Deputy Administrator for Administrative Management
- EEO - Equal Employment Opportunity
- FMD - Financial Management Division
- GSD - General Services Division
- HQ - Headquarters
- LERB - Labor and Employee Relations Branch, PD
- MODE - Management of Objectives with Dollars through Employees
- NFC - National Finance Center
- NPS - National Program Staff
- PD - Personnel Division
- PPSB - Personnel Policy and Systems Branch, PD
- POB - Personnel Operations Branch, PD
- PMB - Property Management Branch, GSD
- RL - Research Leader
- SY - Scientific Year

## 3. DEFINITIONS

**Location:** a city/state designation which enables ARS information systems to group organizational units, funds, and resources below the area/center category. It is not an organizational unit.

**Office or Facility:** any space used for housing ARS personnel whether purchased, leased, or acquired free of charge from a cooperator.

**Organizational Change:** the establishment, discontinuance, consolidation, transfer, or realignment of work, functions, areas of responsibility, and/or geographical jurisdiction. This includes changes in the titles of organizations.

**Organizational Title:** the title specified for an organizational entity on official organization charts and in the ARS Organizational Code Guide.

**Position Management Advice:** information on how distribution of duties and responsibilities to positions affects their classification, recruitment, resources, effectiveness of employee utilization, morale, productivity, and other related employee factors.

#### **4. AUTHORITIES**

- 7 CFR 2.7
- 7 CFR 2.57
- Departmental Regulation 1010-1

#### **5. POLICY**

- When changes in organizational structure, physical location, titles, etc., take place, consideration shall be given to the following as appropriate:
- Compatibility with the ARS Strategic Plan and the ARS 6 Year Implementation Plan.
- Maintaining or improving the efficient accomplishment of missions and programs.
- Cost effective change; specifically, in locating offices or facilities, as outlined in Manual 245.1. It is USDA policy to:
  - Acquire only such interests in real property as needed to carry out its authorized programs in accordance with applicable laws, policies, and procedures.
  - Use, whenever practical, Government-owned property rather than leased property.
  - First priority is to be given to locating new offices and other facilities in rural areas, in accordance with Section 601 of the Rural Development Act of 1972, as amended. When facilities must be located adjacent to urban areas or incorporated rural communities, first consideration will be

given to locating the facilities within the central business area of the community.

- Adherence to sound position management and work force guidelines. (See DIRECTIVE 431.1, Exhibit 4.)
- Compatibility with Agency and Departmental requirements and policies regarding:
  - Establishing consistent facility and organizational titles,
  - Civil rights laws,
  - Labor relations policies.
- Supporting and reinforcing the RL's capability to function as both research scientist and supervisor.
- Meeting the need for economic development and redevelopment of areas consistent with state, regional, and local plans and programs, and the impact an organizational selection will have on improving social and economic conditions in the area.
- Determining the availability of low and moderate income housing.
- Minimizing unfavorable civil rights impact.
- The organizational structure code in the MODE System forms the basis for the formal recognition and establishment of organizational units and entities.

## **5. DELEGATIONS**

This DIRECTIVE delegates authority to AD's, with prior concurrence by the NPS, to approve changes to organizational titles and organizational structures for their respective Areas which do not require Departmental approval, as outlined in Departmental Regulation 1010-1. The DAAM is delegated authority to approve changes to Administrative Management branches and staffs.

## **6. SCOPE**

This DIRECTIVE applies to (a) all organizational levels and entities which are formally recognized in the MODE organizational structure codes and other ARS information systems, (b) formal organizational charts and documents, and © all actions involving changes to organizations.

## **7. ORGANIZATION AND LEADERSHIP ROLES**

This DIRECTIVE defines the various ARS scientific organizational hierarchy and leadership roles and responsibilities, and provides instructions for reorganizing organizational units.

- Description of Structure
  - Level I - Research Project - A research project is comprised of research tasks which are to be accomplished or completed according to established goals, objectives, and agreed upon time frames. Projects will usually be directed toward solving one or more closely related problems, and in most cases will include fewer than 5 SY's. Resources for a project will be accounted for by a CWU and will generally come from one management unit; however, resources assigned to a project may involve several scientific disciplines and management units as necessary to accomplish research tasks. In such cases, resources shall be accountable to the CWU leader.
  - Level II - Research Unit - A research unit is a group of scientific resources, usually consisting of 5-15 SY's and associated support, equipment, and operating resources. There may be exceptions to the target size requirement if adherence to the requirement does not make sense from a program standpoint.

The research unit is designed to provide a particular research capability that the Agency wants to maintain. The research unit is synonymous with a management unit within the organizational structure. Research units are to be organized on a program basis or rationale, such as discipline, commodity, process, technology, or goal. The rationale governing the composition of each research unit must have AD approval, with NPS concurrence, for adherence to the ARS Program Plan.

- Level III - A research organization such as a laboratory, institute, center, or other acceptable entity that is maintained where necessary to broadly coordinate related Level II units.
- Scientific Leadership Levels

The following scientific leadership levels correspond to the organizational levels defined above. The definitions describe the leadership roles that are assigned to individuals responsible for managing Level I, II, and III projects and/or organizations. These leadership responsibilities may be assigned in addition to other nonsupervisory duties and responsibilities, such as requirement to conduct personal research. An individual may be assigned more than one level of leadership responsibility simultaneously.

- Level I - Lead Scientist is responsible for the scientific leadership of a Level I project(s), and reports to a Level II RL. In this capacity, the Lead Scientist coordinates scientific activities of participating scientists; evaluates and recommends, with NPS concurrence, changes to the project(s); prepares annual reports; provides technical information and consultation pertaining to the assigned project(s), both internal and external to ARS; and assures that human, fiscal, and physical resources assigned to the project(s) are utilized as planned. With the approval of the RL, a Lead Scientist may supervise temporary scientists assigned to the project, e.g., Research Associates. With the approval of the AD, a Lead Scientist may supervise other permanent scientists assigned to the project(s).
- Level II - Research Leader is the head of a management unit and is responsible for providing leadership and line authority over scientists and support personnel assigned to the unit. A RL reports to either a Level III Director or to an AD. In this capacity, the RL is responsible for maintaining and enhancing the creativity and productivity of the unit; hiring personnel and managing the human, fiscal, and physical resources assigned to the unit; serving as the fund holder of the unit; providing technical information and consultation, both internal and external to ARS; and ensuring the proper interpretation and reporting of scientific research results and information.
- Level III - Director will typically be established only where there is an organizational need for a research administrator to coordinate Level II

efforts. A typical assignment would be the Director of a large center or laboratory.

- Level IV - Area Director is responsible for providing leadership and line authority over all personnel assigned to an Area and reports to the Administrator.
- Location Coordinator is the individual assigned to collateral duties related to location administrative management. There are no program management or line supervision responsibilities inherent in this designation. This assignment usually requires that the individual supervise the location's administrative support staff.

## **7. SUMMARY OF RESPONSIBILITIES**

### **The Administrator**

- Recommend to the Department those changes requiring Departmental approval. (See Exhibit 1).
- Approve organizational changes in the structure, title, and/or function of the division, branch, or equivalent echelon in HQ not otherwise delegated.

### **The DAAM**

- Review all organizational proposals submitted for higher level approval.
- Forward to the Administrator for approval when required.
- Assure that PD assesses the proposed change for position classification impact.
- When appropriate, assure that GSD assesses the impact the proposed change has on real and personal property management.
- Exercise delegated authority to approve changes.

### **The NPS**



- Review proposed organizational changes for program impact and concur in proposed changes prior to their submission to PD.
- Review proposals for the following organizational changes in the field, and approve for the Administrator, ARS.
- The structure, title, and/or function of Area offices and major centers,
- Geographical jurisdiction of research units when activities extend to other locations and/or Areas.
- Establishment of an office or facility which is temporary, houses fewer than 10 employees, and will not exceed 1 year.

#### **The AD's**

- Exercise delegated authority to approve organizational changes in ARS field organization.
- Concur in proposed organizational changes for their respective Areas which require approval of the Administrator, ARS.

#### **The PPSB**

- Refer proposals, when necessary, to appropriate staff units, including assessment of program impact on civil rights, labor management relations, and position classification and position management.
- Assign MODE codes, notify appropriate organizational units and personnel regarding MODE changes, distribute official charts and updated MODE organizational codes, and maintain MODE System information.
- Provide advice and staff assistance to program and administrative officials on organizational matters and documentation of organizational proposals.
- Review and evaluate organizational proposals requiring Agency approval for their adequacy and compliance with:
  - Organizational goals, mission, and functional statements,
  - Reporting relationships,
  - Position ceiling,

- Line/staff relationships, and
- Other related organizational factors.
- Work with servicing personnel teams to provide coordinated advice and planning assistance to those proposing organizational changes.

### **The POB**

- Provide position management advice to initiators of organizational change.
- Advise PPSB on position management and position classification impact of proposed organizational changes.
- Coordinate with affected offices the processing of position and personnel actions related to proposed changes (including recruitments and reassignments) after official approval of organizational changes and MODE codes have been issued.

### **LERB**

- Provide labor relations advice to initiators of organizational changes.
- Advise PPSB on labor relations impact of proposed organizational changes.

### **GSD-PMB**

- Review and evaluate impact of the proposed change on ARS-owned and leased real property.
- Review and evaluate impact of the proposed change on personal property accountability and control, particularly ARS-owned personal property used by cooperators.

### **Area Administrative Offices**

- Review proposals on organizational change.
- Prepare organizational change packages relating to Area offices.

### **The Initiating Organization**

- Document the intended change and route through appropriate channels.
- Ensure that the unit's Position Staffing Plan (PSP) within the Annual Resource Management Plan (ARMP) is updated appropriately.

## **Approval Procedures for Organizational Change in Headquarters**

### **Organizational Changes in Structure, Title, and/or Function of the Division, Branch, or Equivalent in Agency Headquarters Units.**

#### **The Initiating Organization**

- Clear proposal through appropriate channels
- Submit proposal to Headquarters Section, POB, for coordination of review and comment.
- Submit proposal with documentation to Agency Administrator through PPSB.

#### **PPSB**

- Review and comment upon proposal.
- Request and incorporate comments from:
- Appropriate POB staff.
- Organizational entities affected by the change.
- Administrator, ARS; NPS; EEO Staff; and LERB, if appropriate.
- Make recommendation and route proposals to the DAAM.

#### **DAAM**

- Review and concur in proposal.
- Send proposal to the Administrator.

#### **Agency Administrator**

If proposal is approved:

- Sign and forward to PPSB.

If proposal is not approved:

- Send proposal back to initiating organization through PPSB.

## **PPSB**

If proposal is approved:

- Assign MODE codes; notify NFC, FMD, PD, and appropriate POB Sections; and provide for distribution of official charts and documents, if necessary.

If proposal is not approved:

- If requested, work with initiating organization to develop new proposal.

## **Change in any Formal Structure Below Division or Equivalent in Agency-Headquarters:**

### **The Initiating Organization**

- Clear proposal through appropriate channels.
- Submit proposal to appropriate section in POB for review and comment.
- Notify PPSB of change.

## **PPSB**

- Make MODE code changes.
- Notify NFC, FMD, and appropriate POB section of changes in MODE code.

## **Approval Procedures for Organizational Changes in Field Structure**

- Changes in field structure, specifically changes in:
  - Structure, title, and/or function of Area offices and major research centers.
  - Geographical jurisdiction of Areas.
  - Geographical jurisdiction of research units and labs, when activities extend to other locations.

### **The Initiating Organization**

- Clear proposal through appropriate channels.'
- Submit proposal to appropriate section, POB, for review and comments.
- Review for concurrence.
- Send proposal to PPSB.

## **PPSB**

- From this point, approval procedures are the same as in Approval Procedures for Organizational Change in Headquarters, Steps a-j.

### **Change in Formal Structure in Level II or Equivalent in ARS (e.g., Research Unit):**

#### **The Initiating Organization**

- Clear proposal through appropriate channels.
- Submit proposal to appropriate POB section, and PPSB, for review and comment.

If proposal is approved:

- Notify PPSB of change.

If proposal is not approved:

- Return to initiating organization with comments regarding further action.

## **PPSB**

- Upon notification of approval, make appropriate change in the MODE codes.
- Notify NFC, NPS, FMD, and POB sections of change in the MODE codes.

## **8. QUESTIONS**

Contact PPSB for any questions concerning:

- Prior approval procedure for organizational change.
- The establishment, relocation, or closing of an office or facility.
- The establishment or change in organizational MODE codes.

R. D. PLOWMAN  
Administrator

Exhibit

## 1 Changes Requiring Departmental Approval (Departmental Regulation 1010-1)

Exhibit 1

CHANGES REQUIRING DEPARTMENTAL APPROVAL

SECTION 7 OF DEPARTMENTAL REGULATION 1010-1, DATED APRIL 4, 1986 (Page 5)

7 CHANGES REQUIRING DEPARTMENTAL APPROVAL

Establishment, abolishment, or transfer of:

- a An agency, service, or office.
- b An agency headquarters unit down to and including the division level or equivalent.
- c A unit which reports directly to the head of an agency, service or office.
- d A regional structure or office.
- e A unit of office outside of headquarters which has, or will have, 10 or more employees.
- f A function by any of the above that will result in changes to the organizational chart.